

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 2-2005)TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

PG5049USw

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/539141

INTERNATIONAL APPLICATION NO.  
PCT/EP2003/014550INTERNATIONAL FILING DATE  
18 December 2003PRIORITY DATE CLAIMED  
20 December 2003

## TITLE OF INVENTION

APPARATUS AND METHOD FOR THE ISOLATION OF PRODUCED PARTICLES AS A SUSPENSION IN A  
NON-SUPERCritical FLUID

## APPLICANT(S) FOR DO/EO/US

Simon Murray COOPER; David Roy MERRIFIELD; John ROBERTSON; Christopher Edmund VALDER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV332063478US
23. ☒ Other items or information:

Copies of: PCT publication cover page; PCT Request

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/539141</b>		INTERNATIONAL APPLICATION NO. <b>PCT/EP2003/014550</b>		ATTORNEY'S DOCKET NUMBER <b>PG5049USw</b>	
The following fees are submitted:				<b>CALCULATIONS</b>	<b>PTO USE</b>
24. <input checked="" type="checkbox"/> Basic national fee .....		\$300	\$	\$300.00	
25. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4) .....		\$100	\$	\$200.00	
All other situations. ....		\$200			
26. <input checked="" type="checkbox"/> Search fee .....					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority .....		\$100			
International Search Report prepared and provided to the Office .....		\$400			
All other situations. ....		\$500	\$	\$40.00	
<b>TOTAL OF 24, 25 and 26 =</b>			\$	<b>\$540.00</b>	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
24 - 100 =	0 /50 =	0	x \$250.00	\$	\$0.00
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	12 - 20 =	0	x \$50.00	\$	\$0.00
Independent claims	8 - 3 =	5	x \$200.00	\$	\$1,000.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00				\$	\$0.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	<b>\$1,540.00</b>
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$0.00
<b>SUBTOTAL =</b>				\$	<b>\$1,540.00</b>
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	\$0.00
<b>TOTAL NATIONAL FEE =</b>				\$	<b>\$1,540.00</b>
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00
<b>TOTAL FEES ENCLOSED =</b>				\$	<b>\$1,540.00</b>
				<b>Amount to be</b>	\$
				<b>Amount to be</b>	\$

a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 07-1392 in the amount of \$1,540.00 to cover the above fees. A duplicate copy of this sheet is enclosed.

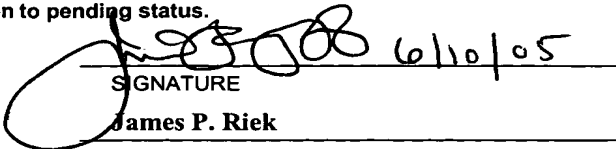
c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1392. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

**CUSTOMER NUMBER**  
23347

  
SIGNATURE  
**James P. Riek**  
NAME  
**39,009**  
REGISTRATION NUMBER

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): Simon Murray COOPER et al.		Docket No. <b>PU5049USw</b>	
<b>10/539141</b> Serial No. To be assigned	Filing Date Concurrently herewith	Examiner To be assigned	Group Art Unit To be assigned
Invention: <b>APPARATUS AND METHOD FOR THE ISOLATION OF PRODUCED PARTICLES AS A SUSPENSION IN A NON-SUPERCritical FLUID</b>			
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <p>U.S. national phase application for patent under 35 USC 371 and accompanying documents</p> </div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p> <p style="text-align: center;"> <u>June 16, 2005</u>  <i>(Date)</i> </p> <div style="text-align: right; margin-top: 20px;"> <p><u>Marjorie J. Pfeiffer</u>  <i>(Typed or Printed Name of Person Mailing Correspondence)</i></p> <p><u><i>Marjorie J. Pfeiffer</i></u>  <i>(Signature of Person Mailing Correspondence)</i></p> </div> <p style="text-align: right; font-size: 1.2em; margin-top: 10px;"> <u>EV332063478US</u> </p>			
<p style="text-align: center;"><b>Note: Each paper must have its own certificate of mailing.</b></p> <ol style="list-style-type: none"> <li>1. Transmittal Letter concerning a submission under 35 USC 371 (fee page in duplicate) (3 pages)</li> <li>2. Copy of International Preliminary Examination Report</li> <li>3. Copy of International Search Report</li> <li>4. Information Disclosure Statement/Form PTO-1449 and 6 cited references</li> <li>5. Preliminary Amendment (7 pages)</li> <li>6. Abstract (1 page)</li> <li>7. Copy of PCT publication cover page</li> <li>8. Copy of PCT Request</li> <li>9. Return postcard</li> <li>10. Combined Declaration and Power of Attorney (2 pages)</li> </ol>			